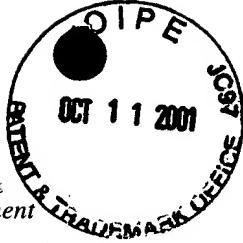


FERENCE & ASSOCIATES
Information Disclosure Statement



4
TDS w/Refers
Atty. Docket No. YOR920010425US1
(590.072)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : CHAUDHARI et al. Group Art: not yet assigned
Serial No. : 09/931,316 Examiner: not yet assigned
Filed : August 16, 2001
For : Methods and apparatus for the systematic adaptation of classification systems from sparse adaptation data

HON. ASSISTANT COMMISSIONER FOR PATENTS
Washington, D.C. 20231

Sir:

This Information Disclosure Statement is filed in accordance with 37 C.F.R. §§ 1.56, 1.97 and 1.98. The items listed on Form PTO-1449, a copy of which is enclosed, may be deemed to be pertinent to the above-identified application and are made of record to assist the Patent and Trademark Office in its examination of this application. The submission of this Information Disclosure Statement shall not be construed as a representation that a search has been made or that no other items than those identified herein exist. The Examiner is respectfully requested to fully consider the items and to independently ascertain their teaching.

1. For each of the following items listed on the enclosed copy of Form PTO-1449 that is not in the English language, an English language translation of that item or a portion thereof or a concise explanation of the relevance of that item is enclosed:
 - A:
 - B:
2. For each of the following items listed on the enclosed copy of Form PTO-1449 that is not in the English language, a concise explanation of the relevance of that item is incorporated in the specification of the above-identified application.
3. Any copy of the items listed on the enclosed copy of Form PTO-1449 that is not enclosed with this Information Disclosure Statement was previously cited by or submitted to the Patent and Trademark Office in the prior Continuation, Divisional or Continuation-In-Part application under 37 C.F.R. § 1.60, U.S. Serial No. _____, filed _____.
4. No fee is due under 37 C.F.R. § 1.17(p) for this Information Disclosure Statement since it is being filed in compliance with:

- [] 37 C.F.R. § 1.97(b)(1), within three months of the filing date of the above-identified application.
- [] 37 C.F.R. § 1.97(b)(2), within three months of the date of entry into the national stage as set forth in § 1.491 in an international application.
- [X] 37 C.F.R. § 1.97(b)(3), before the mailing date of a first Office action on the merits.
5. [] No fee is due under 37 C.F.R. § 1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. § 1.97(c), after the period specified in paragraph 4 above but before the mailing date of a final action or a Notice of Allowance (where there has been no prior final action), and is accompanied by one of the verifications pursuant to 37 C.F.R. § 1.97(e) set forth in paragraph 9 below.
6. [] A fee is due under 37 C.F.R. § 1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. § 1.97(c), after the period specified in paragraph 4 above but before the mailing date of a final action or a notice of allowance (where there has been no prior final action):
- [] A check in the amount of \$240.00 is enclosed in payment of the fee.
7. [] A fee is due under 37 C.F.R. § 1.17(i) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. § 1.97(d), after the mailing date of a final action or a notice of allowance, whichever comes first, but before payment of the issue fee, and is accompanied by:
- one of the certifications pursuant to 37 C.F.R. § 1.97(e) set forth in paragraph 9 below; and
 - the attached petition requesting consideration of this Information Disclosure Statement; and
 - the fee due under 37 C.F.R. § 1.17(i) which is paid as set forth in paragraph 10 below.
8. [] A fee is due under 37 C.F.R. § 1.17(i) for this Information Disclosure Statement since it is being filed in compliance with:
- [] 37 C.F.R. § 1.313(b)(3), after the issue fee has been paid and information cited in this Information Disclosure Statement may render at least one claim unpatentable and is accompanied by the attached Petition To Withdraw Application From Issue.
 - [] 37 C.F.R. § 1.313(b)(5), after the issue fee has been paid and information cited in this Information Disclosure Statement is to be considered in a Continuation application upon abandonment of the instant application and is accompanied by the attached Petition To Withdraw Application From Issue.
 - [] The fee due under 37 C.F.R. § 1.17(i) is paid as set forth in paragraph 10 below.

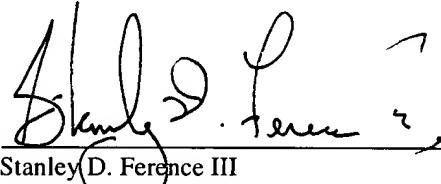
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Information Disclosure Statement

Atty. Docket No. YOR920010425US1
(590.072)

9. I hereby certify that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.
- I hereby certify that no item of information in the Information Disclosure Statement filed herewith was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.
10. A check in the amount of \$130.00 is enclosed in payment of the fee due under 37 C.F.R. § 1.17(i).

Respectfully submitted,

FERENCE & ASSOCIATES

By: 
Stanley D. Ference III
Registration No. 33,879

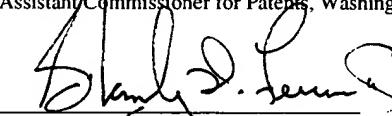
Dated: 5 October 2001

Mailing Address:

FERENCE & ASSOCIATES
129 Oakhurst Road
Pittsburgh, Pennsylvania 15215
(412) 781-7386
(412) 781-8390 - Facsimile

CERTIFICATE OF MAILING

I hereby certify that this correspondence and any documents referred to as enclosed therewith are being deposited with the United States Postal Service as first class mail, addressed to the Assistant/Commissioner for Patents, Washington, DC 20231 on 5 October 2001.



Stanley D. Ference III
Reg. No. 33,879

5 October 2001
Date of Signature

Please type a plus sign (+) inside this box

OCT 11 2001

PTO/SB/08B (10-96)

Approved for use through 10/31/99. OMB 0651-0031

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Substitute for form 1449B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

1

1

Sheet 1 of 1 Attorney Docket Number YOR920010425U

Complete if Known

Application Number	09/931,316
Filing Date	August 16, 2001
First Named Inventor	Upendra V. CHAUDHAR
Group Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	YOR920010425U1

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

Examiner Signature _____ **Date Considered** _____

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.